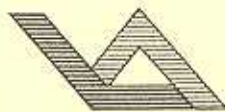




RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

RECORDS RETENTION SCHEDULE

Signature Page

Kentucky Lottery Corporation
Agency

December, 1990
Schedule Date

Unit

September, 1993
Change Date

9/9/93
Date Approved by Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Arthur H. Pearson Jr.
Agency Head

9/2/93
Date of Approval

Victoria M. Cullimore
Agency Records Officer

9/2/93
Date of Approval

Richard L. Zeldin
State Archivist and Records Administrator
Director, Public Records Division

9/9/93
Date of Approval

Chairman, Archives and Records Commission

9/9/93
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Kathy Hilliland
Records Analyst/Regional Administrator

August 30, 1993
Date of Approval

Jim Ingle
Appraisal Archivist

8/30/93
Date of Approval

Wanda Moses
State/Local Records Branch Manager

8/30/93
Date of Approval

The determination as set forth meets with my approval.

Wanda Moses
Auditor of Public Accounts

9/9/93
Date of Approval

RECORDS RETENTION SCHEDULE

Signature Page

Kentucky Lottery Corporation
Agency

March 1991
Schedule Date

Regional Office/Warehouse
Unit

June 1991
Change Date

June 13, 1991
Date Approved by Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

X [Signature]
Agency Head

6/3/91
Date of Approval

Victoria M. Cullimore
Agency Records Officer

6/3/91
Date of Approval

Richard L. Eldridge
State Archivist and Records Administrator
Director, Public Records Division

5/28/91
Date of Approval

[Signature]
Chairman, Archives and Records Commission

6/19/91
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Kathy Gilliland
Records Analyst/Regional Administrator

5/29/91
Date of Approval

Barbara Teague
Appraisal Archivist

5/29/91
Date of Approval

Diana Moses
State/Local Records Branch Manager

5/29/91
Date of Approval

The determination as set forth meets with my approval.

Bob Babbay by Regina Grubbs
Auditor of Public Accounts

6-10-91
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: December 13, 1990

STATE AGENCY RECORDS
RETENTION SCHEDULE

General Government
Lottery Corporation

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
03851	Game File-Duplicate	This file documents the rules and regulations for the games implemented by the Kentucky Lottery Corporation. Each of the employees that have this file may have any or all of that which is found in the file maintained by the Executive VP. The file governs the prize structure and drawing procedures, if any, audit information, description of tickets, trademark verification, and how the game is won. It reflects the details of any supplemental drawings that may be part of the game. It may contain statistical information measuring the success of a game.	Working papers from each particular area (Sales goals, ticket layouts, promotional coupons, etc.); Rules and procedures for the game; Auditor's report.	Agency: I	Records Center:	Archives Center: Destroy when no longer useful.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Corporate Counsel

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03860	Collection of NSF Account File	This series documents the Kentucky Lottery Corporation's (KLC) attempts to collect on delinquent retailer accounts (NSF means insufficient funds). It reflects step by step, the required legal/enforcement procedures. A file is initially created when a delinquent account is brought to the attention of KLC's legal counsel for collection. This is after every other means to collect their money has been exhausted. The file describes arrangements for payment. If a retailer is pressed with criminal charges, a duplicate copy of the file is provided to the local Commonwealth's Attorney for prosecution.	Retailer Licensing File (03872); Collection Correspondence; Initial Claim; Judgment; Other correspondence; Account statements.	Agency: I	Records Center:	Archives Center:
				Destroy 1 year after closure of the case, prosecution is complete and audit.		
03859	Contracts (V)	This series documents information regarding the terms and conditions of agreements between the Kentucky Lottery Corporation and the contracted agency. They deal with such subjects as ticket manufacturing, advertising and marketing schedules with television, radio, and newspapers, promotions, and personal services contracts (outside legal consultants). It documents all payments made against the contract. It will document any change(s) in the agreement. Most contracts are renewed annually.	Agreement; Name of person, vendor or agency with whom a contract is made; Revisions (if applicable); Correspondence; Required signatures.	Agency: I	Records Center:	Archives Center:
				Destroy 3 years after the expiration of the contract and audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Executive Vice President

Records Title					Retention		
Series	and Description		Function and Use	Contents	Disposition Instruction		
03850	Game File	(V)	This file documents the rules and regulations for the games implemented by the Kentucky Lottery Corporation (KLC). This file governs the prize structure and drawing procedures, if any, audit information, description of tickets, trademark verification, and how the game is won. It reflects the details of any supplemental drawings that may be part of the game. The Executive Vice President has the responsibility for game development and implementation of games. All aspects of the games are coordinated and approved. It contains statistical information that helps to measure the success of a game, whether to extend the time period on a game, play it out, or close it out. Some games may be more popular in one area than another. Retailers can, also, determine which games they want to participate in. This kind of information aids in planning new games.	Working papers; Rules and regulations of games; Trademark verification; Auditor's reports; Drawing procedures; Statistics related to sales and participation.	Agency: P	Records Center:	Archives Center:
					Retain in agency.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Accounting

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
03899	Monthly Financial Statement (BOS Printout) (N) NA	This series documents the corporations financial transactions and activity each month. It is a summarization of every journal entry on the Financial General Ledger (03906)--beginning and ending balances, credits/debits to each account. It is made up of 2 key elements: 1)Balance sheet which identifies assets, liabilities, and equity; and, 2)Income Statement, reflecting income, expenses, net profits/losses. The statement is used for the Board of Directors meetings each month. The Annual Financial Report (F0001) is a compilation of 12 of these. A 3 page narrative is attached, summarizing the printout. The Legislative Research Commission, the Governor's Office and the Board of Directors receive the annual report.	Date; Account No.; Dollar Amounts Debit/Credits; Summarized Balance/Income Line Items (Assets, Liability, Equity); Expenses; Totals of each category; Totals for current month, Year-to-date totals.	Agency: 1 year	Records Center: NA	Archives Center: NA Destroy after completion of Annual Financial Report (F0001) and audit.
03906	Financial General Ledger (BOS Printout) (N) NA (V)	This series documents the assets and liabilities, retained earnings, income, depreciation and amortization, expenses and account balances of the Kentucky Lottery Corporation. The printout is from the Lottery Back Office System (03883). Entries are manually input into a journal, then keyed into the BOS. The series identifies each claim to an account.	Date of Ledger; Account #; Account Center (location drawing/game); Account description; Journal; Type of transaction; Credit/Debit amount; Account balance.	Agency: 1 year	Records Center: NA	Archives Center: NA Destroy after audit.
03908	Post Receipts Report (BOS Printout) (N) NA	This series documents all credits/debits and payments posted manually and input into the Lottery Back Office System (03883) on a daily basis. It identifies adjustment to the retailer accounts. If a retailer's account is out of balance at the end of a month, or other errors are identified, this report should reconcile the problem.	Date of report; Credits/Debits/Payments; Totals; Retailer no.; Game no.; Transaction date; Dollar amount(s); Order of Batch nos.	Agency: 1 year	Records Center: NA	Archives Center: NA Destroy after audit.
04124	Gambling Winnings Form File (N) NA Change Date: 3/12/1992	This series documents the winnings of participants of \$601 or greater, as well as federal and state taxes withheld. It is created at the end of each year from the Lottery Back Office System (BOS) (03883). The information is received from the Validation Section as winners complete their claim information. There is no reference to the information, but it is necessary that it be retained to comply with the federal Internal Revenue Service requirements.	Payer's name, address, federal ID number; Winner's name, address; Gross winnings; Federal income tax withheld; Date won; Winner's taxpayer ID number (SS#); State/Payer's state ID #; State income tax withheld; Signature; Date.	Agency: 3 years	Records Center: NA	Archives Center: NA Destroy after audit
03900	Accounts Payable File (N) NA	This series documents expenses and liabilities of the Kentucky Lottery Corporation (KLC). Once an invoice is received, it is matched to the receiving report, and the proper account number is encoded. The information is input into the Lottery Back Office System (03883) to process a check. The series will verify when the check was processed and mailed.	Name of vendor; Invoice #; Description of item(s) purchased; Cost of item(s); Date of billing; Dept. approval certification; Duplicate of check.	Agency: 3 years	Records Center: NA	Archives Center: NA Destroy after audit.
03905	State Withholding Payments Report (N) NA	This report documents state taxes withheld from winners whose prize is \$5000 or more. The money is paid and reported to the Kentucky Revenue Cabinet monthly.	Number of payments; Date of payments; Amount paid; Any Balance Due.	Agency: 3 years	Records Center: NA	Archives Center: NA Destroy after audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Accounting

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03898	Retirement Contribution List (C) KRS 61.878 (1)(a)	This series identifies per pay period the contribution and earnings to the Lottery's retirement fund. The Active Employee Retirement Folder (03865) determines the contributions of each employee.	Date; Name; Earnings; SS#; Contribution for pay period and total.	Agency: 3 years	Records Center: NA	Archives Center: NA
Destroy after audit.						
03901	Check Register or Cash Disbursement Register (BOS Printout) (N) NA	This series documents payments made to vendors for services rendered to the Kentucky Lottery Corporation (KLC). This series results from the Lottery Back Office System (03883). The system will put the Check Register in check number order, and the Cash Disbursement Register by account number order.	Register Date; Check No.; Name of individual or vendor; Amount of money deposited or processed; Division Account No.	Agency: 3 years	Records Center: NA	Archives Center: NA
Destroy after audit.						
03897	Master Control Report (N) NA	This series documents the year-to-date payroll summaries by employee at the Kentucky Lottery Corporation. It is a printout provided by Automated Data Processing.	Name of Payee; Date of printout; Amount of money paid YTD; Department no.; SS no.; Deductions.	Agency: 1 year	Records Center: NA	Archives Center: NA
Destroy after audit.						
03893	Reconciliation of Cash Statement (N) NA	This series is a statement of comparison and reconciliation between the financial transactions reflected on the Financial General Ledger (03906) maintained in-house and the bank statement. It is a document manually created when the bank statements are received each month.	Date; Name of account; Beginning and ending balances, withdrawals, deposits; Outstanding checks/checks in transit.	Agency: 1 year	Records Center: NA	Archives Center: NA
Destroy after audit.						
03896	Payroll Register (N) NA	This series documents payroll transactions of the agency's employees. The fiche is issued bi-weekly by Automated Data Processing, and provides information relative to salaries, deductions, and time and attendance activity. It reflects necessary corrections of payroll information. The KLC has the capability to input, update, and inquire into the payroll system. ADP does the processing (tax and payroll deductions).	Name of payee; Check No.; Salary; Deductions; SS #; Time and attendance activity.	Agency: 1 year	Records Center: NA	Archives Center: NA
Destroy after audit.						
03892	Check Reconciliation Register (N) NA (V)	This series is a manual summary (ledger) of all financial activity against each account that takes place at the bank, i.e., deposits, debit/credit memoranda, collection tickets. This series was created for the benefit of the auditor, to provide a monthly statement of transactions with the bank.	Deposit Tickets; Debit/Credit Memoranda; Collection Tickets; Checks Paid/Cleared.	Agency: 3 years	Records Center: NA	Archives Center: NA
Destroy after audit.						

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Accounting

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
03907	Coupons, Redeemed Tickets, Cancelled Tickets (On-line Games) (N) NA Change Date: 3/12/1992	This series documents the ticket and promotional activity with retailers for the on-line games. The coupons are promotional items entitling players to participate in games at some benefit or discount. They can be found in the newspapers or flyers in the mail. The coupons will be balanced against credits applied to the retailer's lottery account. A redeemed ticket is one that has been paid out by the retailer. A cancelled ticket is where credit may be applied in case of an error. These coupons are printed and are valid for a specific period of time, and are settled immediately after the promotion period. In cases where the accounts do not immediately balance, the amounts are very minimal, less than \$10.00. Internal auditors review all indiscretions in accounts.	Coupon date; Name of game (Pick 3 or Lotto Kentucky); Dollar value of coupon; Cash Authorization Slip or Cancelled Slip; Corresponding nos.	Agency: 3 months	Records Center: NA	Archives Center: NA
				Destroy after internal audit is completed		
03894	Investment File (N) NA	This series documents investments made by the Kentucky Lottery Corporation (KLC). It is initially created each time there is a winner of \$1 million or more. Once Validations approves a winner, the process for purchasing an annuity is activated. The series provides information required to properly reconcile and compare transactions between KLC and the investment firm. At this time, these are 20 year investments. The Maturity List reflects information relating to the investment over the 20 year period, i.e., the maturity date and the cost each year.	Copy of Safekeeping receipt (Receipt date, who investment is held for, type of security, amount, maturity date, cusip #, receipt #, Security issue date); Confirmation Form (Information on security from seller of security, Amount, Trade #, Customer #, Trade date, Settlement date, principal, yield, dollar price); Maturity List (Lotus Spread Sheet)--date of maturity, face value, cost, SK receipt #, cusip #.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy 3 years after maturity and audit.		
03895	Asset Depreciation Schedule (N) NA	This series tracks fixed assets and depreciation expenses of equipment owned by the Kentucky Lottery Corporation. It, also, doubles as an inventory list. It identifies each piece of equipment, its location, and its value.	Date; Balance of assets; Date acquired; Asset type; Asset depreciation expense; Location; Additions; Depreciation this year; Depreciation YTD.	Agency: 1 year	Records Center: NA	Archives Center: NA
				Destroy after audit.		
04318	Telephone Bill File (Bill and Printout) (N) NA Change Date: 9/9/1993	This series documents the invoices to the Kentucky Lottery Corporation (KLC) from the various phone companies that provide communication services. In addition to the regular phone service and long-distance service, the billing includes costs for fax, cellular phones, and cable for data circuits from KLC to retailers throughout Kentucky. The bills reflect costs broken into five types: 1) Retailer Detail; 2) Regional Office Detail; 3) Louisville Regional Office (warehouse, G-Tech, and KLC data center); 4) KLC (home office); and, 5) MCI fax, and long-distance service. The billing enables staff to code each service to the proper account, and provides a cost breakdown for each region.	Invoice-Vendor, Vendor #, Billing code, Charges, Total due. Attached will be the Index of Charges; Billing #'s; Billing Codes; Detail of payments and adjustments applied; Customer calls dialed--To, From, When, Minutes, Amount; Installation Charges or Disconnects; Circuit numbers; charges billed from earning number	Agency: 1 year	Records Center: NA	Archives Center: NA
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Accounting

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03902	GTECH Liability Report (from GTECH Corporation) (N) NA	This series documents the information on the daily and weekly drawings on the on-line, computerized lottery games Kentucky Cash (Pick 3) and Lotto Kentucky. GTECH is the company that owns and operates the electronic equipment and software. The office based in Louisville is electronically connected to the KLC office. This report is received from GTECH. KLC has a terminal to review GTECH information, but is not able to input without first calling GTECH for access. The information identifies the drawing date (Kentucky Cash is drawn daily, Lotto Kentucky is bi-weekly), cash award, what, if any was claimed, what's left to be claimed, the number of winners, and the expired amounts never claimed.	Game no.; Date of Drawing; Prize amount; No. of winners; Total Prize amount; Claims at Retailer/Lottery Headquarters; Total Claimed; Unclaimed amounts; Expired Amounts; Those that matched 4 of 6, 5 of 6, or 6 of 6 (Lotto Kentucky); Previously Paid (Pick 3); Paid Today (Pick 3)	Agency: 3 years Destroy after audit.	Records Center: NA	Archives Center: NA
03914	Immediate Orders Payment/Issue Report (BOS Printout) (N) NA	This series document all walk-in sales at each Regional Office daily. It is used to balance the accounts at Lottery Headquarters with the Regional Office. Totals include the issued amount of sales and the payment received.	Date/Time; Reference No.; Retailer No.; Game No.; Transaction No.; Payment amount; Invoice amount; Net amount; Difference; Total payments/issues for location center.	Agency: 1 year Destroy after audit.	Records Center: NA	Archives Center: NA
03913	Daily Warrant Register (BOS Printout) (N) NA	This series identifies all warrants (checks) issued at each regional claim center daily. It is matched up with the Daily Claimed Prize Report (03912).	Date/Time; Warrant No.; Name of winner; Warrant Type (Low, Mid, High-Tier); Game No.; Game; Issue Date; Warrant Amount; Claim No.; Warrant Status; Warrant Reason.	Agency: 1 year Destroy after audit.	Records Center: NA	Archives Center: NA
03912	Daily Claimed Prize Report (BOS Printout) (N) NA	This series documents all prizes claimed at each Regional Office, including Kentucky Lottery Headquarters. It identifies the prize amount and a total amount for each office.	Date/Time of Report; Claim Center/Location; Game No.; Claim #/Warrant #; Claimant name/Pack-Ticket #; Claim Date; Prize Amount; Federal Withholding; State Withholding; Other Withholding; Net amount; Retailer Name; Paid Total.	Agency: 1 year Destroy after audit.	Records Center: NA	Archives Center: NA

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Accounting

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
03903	Debt Set-Off (BOS Printout) (N) NA	This series documents lottery winners who have owed state taxes or child support, and the KLC has taken the money from their winnings to pay this. Each month, the Revenue Cabinet sends the Lottery a tape that is input into the Lottery Back Office System (03883). It identifies individuals who owe state tax money, or child support (sent to the Intercept Project, a collection program for child support). If the winner is one that can be paid by the retailer, it's possible that he/she will not be caught. However, if the winner cashes in a claim at a Lottery Regional Office or the Lottery Headquarters, he/she will only be paid what is left over once taxes or child support are paid. KLC sends a check to Revenue or the Intercept Project with a printout of the winner's name, Social Security no., prize amount, and withholding amount.	Name of Winner; Social Security no.; Total Debt; Amount Withheld; Type of Debt (Tax or Child Support)	Agency: 3 years Destroy after audit.	Records Center: NA	Archives Center: NA
03911	Daily Claims Interface to Accounts Receivable (BOS Printout) (N) NA	This series provides a total of all claims on the Accounts Receivable Account on a given day. It is verified against the A/R Transaction Processing Report (03909) for redeemed amounts in awarding cash prizes. The retailer is responsible for payment on low-tier prizes, \$2-\$25. If a winner claims his prize at Lottery Headquarters, the amount is charged back on the retailers account. For a mid-tier prize, the retailer may pay the prize amount, then receive credit on his account.	Time/Date of report; Retailer No.; Name of store; Low-tier or Mid-tier prize; Game No.; Claim Center; Payment method; Transaction Date; Pack no.; Ticket no.; Claim no.; Redeem amount. Control Totals-Claim Center, Game, payment method, count, Amount.	Agency: 1 year Destroy after audit.	Records Center: NA	Archives Center: NA
03910	Accounts Receivable Balancing Report (BOS Printout) (N) NA	This series documents the total accounts received each billing period (weekly) and separates the accounts receivable, electronic transfer accounts (EFT), and future amounts due. It allows the accounting staff to see the status of the cash flow in these accounts. It identifies errors in the billing extracts, and aids in verifying retailer banking activity, particularly in the retailer chain stores.	1) Billing Extract-Date/Time of report, Retailer no., exception message, billed amount, processed amount, future due. 2) Billing Process-Errors (compares Billing Process with Billing Extract). 3) Billing Statement. 4) EFT Extract. 5) EFT Process (looks at Bank account amounts, transaction code, description of transfers.	Agency: 1 year Destroy after audit.	Records Center: NA	Archives Center: NA
03909	Accounts Receivable Transaction Processing Report (BOS Printout) (N) NA	This report reflects the retailer activity on a daily basis, from the purchase of tickets to the payment of mid-tier tickets (\$25-600). The information is displayed in retailer number order and a total posted amount is calculated for each retailer.	Date/Time of Report; Retailer No.; Name of store; Reference No.; Transaction type; Reason Code; Sub-System code; Game No.; Batch No.; Transaction Date; Transaction amount.	Agency: 1 year Destroy after audit.	Records Center: NA	Archives Center: NA

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Accounting

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
03904	Federal Withholding Tax Payment Report (N) NA	This series documents quarterly federal tax withholdings on winners of \$5000 or more. All monies paid and reported must balance when the report is complete. The information required to complete the report is in the Lottery Back Office System (03883).	Receipt of Deposit; Copy of check; Copy of Federal Tax Deposit Coupon.	Agency: 4 years	Records Center: NA	Archives Center: NA
				Destroy after audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Licensing/Validations

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03872	Retailer Licensing File (N) NA	This series documents all retailers who have applied to participate in the selling of lottery tickets. The records identify those that have been approved, inactive, cancelled or rejected. A file will become inactive if there is a temporary period in which a retailer will not be selling lottery tickets, for example, if the store is closed for remodeling purposes. An application may be cancelled or rejected if the retailer has not paid his/her taxes properly, or if there is incriminating information found in the police/security check. Once the file is approved, or disapproved, most activity is administrative, such as correcting addresses, changing a contact name, etc. *The bulk of the records were created with the beginning of lottery ticket sales. Since then annual accumulation has greatly slowed down. **The Kentucky Lottery Corporation has completed its first year of business. Reference activity beyond that is not known.	Retailer Application (Type of app, business name, address, contact name, federal employer ID no., Ky. sales tax no., type of business, type of ownership, current tax business); Marketing Evaluation Form (Business hours, weekly customer count, weekly sales average, no. of cash registers, no. of employees); Personal Data Form; Retailer Contract; Retailer EFT Authorization; Retail Agreement for On-Line Lottery Games.	Agency: Indefinite	Records Center: NA	Archives Center: NA Destroy rejected or cancelled files after 3 years and audit
03873	Winner's Claim File (Y) KRS 61.878 (1)(a) (Winner's address, SS#, etc.) Change Date: 3/12/1992 (V)	This series documents the information necessary to process a winner's claim. If any information is missing from the form, and not input into the Lottery Back Office System (03883), the processing activity cannot be completed. The main objective of Validations is to ensure that every claim form and/or ticket issued by the Lottery is accounted for and either promptly paid or otherwise disposed of in a timely manner and in accordance with procedures. Prizes must be claimed and are eligible for payment for up to 365 days after the officially announced game ends, or to be eligible for any type of special event, the ticket(s) must be claimed as designated in the rules of the particular game. The form is completed by the claimant and signed, dependent on the amount of the prize, either at the Lottery Corporation or at the retail store. (Low-tier prize is 1 free ticket-\$25; Mid-tier prize is \$26-\$600; High-tier prize is \$601 and up. All prizes can be claimed at KLC.) Once claims are validated, or in the case of error and the ticket is invalidated, activity with the form ceases, unless involved in litigation.	Daily Claims Referral Log; Ticket no.; Validation no.; Information from bottom line of ticket; Prize amount; Name; Address; City; State; Zip; Phone No.; County; SS#; Resident Status (U.S. Citizen, Resident or Non-Resident Alien); Sex; Date Purchased; DOB; OPTIONAL INFORMATION--How often do you purchase Lottery tickets?; Last School Grade completed; No. of tickets usually purchased at a time; Income; Claimant's Signature, Date. Daily Claims Referral Log; FOR LOTTERY USE--Date; Check no.; Claim no.; Authorization no.; Ticket.	Agency: 1 year	Records Center: NA	Archives Center: NA Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Licensing/Validations

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04317	Grand Prize Winner's Claim File (Y) KRS 61.878 (1)(a) Change Date: 9/9/1993 (V)	This series documents all information required to process a grand prize winner's claim. Grand prizes are games with winnings of \$100,000 or more, and, also, are on-line games--with the exception of the million dollar prize associated with the "Second Chance Drawing" at the 1989 and 1990 Kentucky Derby. Validations will ensure that every winning ticket is processed in a prompt manner. Once authorized, a check is printed. The file then becomes a resource for future installments and payment history. Prizes of one million or more are paid in twenty annual installments. *Generally, between years two to twenty, reference is only to process the annual installment. Once payout is completed, the file is necessary to satisfy the audit requirement.	Claim Form; Winning Ticket; Cash authorization; Letter with installment check; Copy of check; Ticket verification; Change of address; Estate information (in case of the death of a winner)	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy one year after payout and audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Finance and Administration
Purchasing

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03877	Bid Document File (N) NA (V)	This series documents the terms, conditions, and/or (product) specifications for a purchase of the Kentucky Lottery Corporation. Each bid is processed in accordance with Chapter 45A of the Kentucky Revised Statutes (Kentucky Model Procurement Code), which defines all procedures and regulations for bid purchases. All responses are retained in the file.	Signed bid documents from vendors; List of approved vendors; Terms/Conditions/Specifications of product; Vendors quotes; Determination and finding report (who was awarded the bid, at what cost, who all bid, who declined, who was disqualified, if necessary).	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy 3 years after expiration of contract (if applicable) and audit.		
03878	Central Stores Shipping Order (N) NA	This series serves as supporting documentation to the Division of Purchasing for the ordering and receiving of supplies, and appropriate accounting entries from Central Stores to the Kentucky Lottery Corporation or any of its regional offices.	Date; Account No.; Fund; Budget unit; Name of organization; Address; Item no.; Description of Item; Amount (each and total); Authorized Signature from agency.	Agency: 3 years	Records Center: NA	Archives Center: NA
				Destroy after audit.		
03874	Source Application File (Y) KRS 61.878 (1a, f) (V)	This series documents the vendors who have placed application with the Kentucky Lottery Corporation (KLC) to sell equipment and/or supplies for the KLC office. The file verifies a company's history, financial status, and a security check (relating to criminal information from state police records). The Purchasing Director determines if the application is rejected or accepted. If the application is rejected, the file will reflect why. If the application is accepted, it serves basic administrative purposes in the purchasing of equipment and supplies. Pursuant to KRS 45 and 45A, state purchasing procedures have been implemented. *Reference is unknown, having been in business less than 2 years.	Name of vendor; Security check information; Financial status of vendor; Statement of acceptance or rejection.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy 3 years after vendor file is inactive.		
03876	Purchase Order/Price Contract (N) NA	This series documents the approval for the disbursement of funds for the contracted purchase of goods, services or supplies to a vendor. It identifies the price agreement with a vendor over the course of the contract period. All purchases are in accordance with KRS 45A, the Kentucky Model Procurement Code. The file helps to provide a vendor history, and documentation should corrections need to be made in accounting activities.	Name of vendor; Date; Purchase amount; Terms and conditions; Description of purchase or service; Authorized signatures.	Agency: 3 years	Records Center: NA	Archives Center: NA
				Destroy 3 years after expiration of contract (if applicable) and audit.		
03875	Purchase Requisition (N) NA	This series documents the request for a purchase(s) of goods or services. It verifies internal approval required for purchases. A duplicate is retained by the one submitting the request. It is used for purchases over \$500.	Name of employee requesting purchase; Date; Product or service required; Amount; Vendor's name; Management authorization.	Agency: 3 years	Records Center: NA	Archives Center: NA
				Destroy after audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Human Resources
Benefits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03868	Employee Benefits File (Y) KRS 61.878 (1a) (V)	This series documents the insurance benefits (life, health, disability) of Kentucky Lottery Corporation employees. It is created upon employment. It maintains the forms required to initiate and continue insurance coverages, and changes to these coverages, if applicable.	Beneficiaries; Deferred Compensation program (Cafeteria Plan) enrollment; COBRA forms; Correspondence; Name or address changes, etc.; Payroll deduction of benefits; Insurance Premium Report.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy 3 years after termination of employment and audit.		
03870	Workers' Compensation Injury Record (Y) KRS 61.878 (1a) (V)	This series documents the injuries of an employee while on the job. It documents the nature and extent of an injury, time off, doctor visits, and bills, and follow-up therapy, if necessary. It is initially created when a notice and claim is filed (First Report of Injury) and given to the agent of the corporation who has this responsibility. The claim shall be made in writing, containing the name and address of the employee, and the time, place of occurrence, nature and cause of the accident with names of witnesses, nature and extent of injury sustained, and the work in which the employee was at the time engaged, or in the case of his/her death, by any one dependent or person acting on his/her behalf. A report of the accident must be filed with the employer within 2 years after the date of an accident, or death. A Return to Work Statement is provided to the employer upon the employee's return to work. Pursuant to KRS 342.125, it is necessary to retain the information pertinent to a claim. Should an employee show a change in condition, an error, or new evidence, the Workers' Compensation Board may at any time review an award or order. *Reference activity is anticipated to be similar to the first year, and lower with 3-5 year records.	First Report of injury; Name and address; Time, Place of occurrence, nature and cause of accident, Names of witnesses, Nature and extent of the injury; Work engaged in at the time of injury; Signature of injured party; Doctor's statement(s); Billings; Return to Work Statement (if applicable); Correspondence.	Agency: Permanent	Records Center: NA	Archives Center: NA
				Retain in agency.		
03869	Employee Benefits Card File (Y) KRS 61.878 (1a) (V)	This series documents the initial enrollment into the benefits program. It initiates other forms that are completed and maintained in the Employee Benefits File (03868). This series defines an employee's coverages against filed claims, and identifies dependents for health insurance and beneficiaries for life insurance. It serves as a reference tool in accessing information.	Health/Life/Disability Enrollment information (name, date, address, dependents, beneficiaries); Coverage limits.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy 3 years after termination of employment.		
03871	OSHA Log (Occupational Safety and Health Administration) (V)			Agency: 5	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Human Resources
Personnel

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03867	Retired Employee Folder (Y) KRS 61.878 (1a) (V)	This series documents that an employee has retired, is no longer contributing to a retirement fund, and instead is drawing a retirement benefit. All of the information in this file will originate from the Active Employee Retirement File (03865) except for the retirement benefit calculations and the notification of retirement. An employee is vested upon employment. Retirement benefits are a percentage of an employee's salary. The benefits are calculated from the employee's total salary average. An employee must be 62 years of age to retire or be disabled. Once a retirement benefit is determined, the file is referred to if there is a beneficiary change, name or address change. Payment benefits cannot be changed. *At this time, there are no retired employees from the Kentucky Lottery Corporation, therefore, there is no accumulation of files or reference activity.	Enrollment information; Personnel information; Beneficiary information; Account statements; Correspondence; Retirement Benefit Calculations; Statement of retirement.	Agency: Permanent	Records Center: NA	Archives Center: NA
				Retain in agency.		
03862	Job Description File (N) NA	This series serves as a basis for classifying positions within the Kentucky Lottery Corporation (KLC) by providing a plan that maintains an equitable relationship between the education, experience, duties, and responsibilities required by a work position. This series is completed whenever a position is to be established, reclassified, or reallocated, and documents the approval or denial of the request by a department head and the director of Human Resources. *The reference rate is relative to an active position, or one that is being evaluated pending a change.	Title; Status of position (filled or vacant); Position location; Nature of request (Establishment, Reclassification, Reallocation); Name and Title of Immediate Supervisor; % of time and description of duties; Organizational location; Dated signature of person completing form; Approval/Denial of request by President and/or Dir. of Human Resources.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy 60 days after position is abolished or Job Description is updated.		
03863	Request for Personnel Action (N) NA	This series documents all activity regarding the creation, abolition, and/or alteration of a position within a department of the Kentucky Lottery Corporation (KLC). It documents, too, all action(s) taken in regard to an individual employee such as a reclassification, promotion, appointment, name and/or address change. Requests for personnel action are initiated by the department head, and forwarded to the Director of Human Resources. It must be approved by the President and the Director of Human Resources before any change can be effected. A copy will be retained in the Employee Personnel File (03861), and the employee will receive a copy.	Name of agency/department; Date; Position Title; Employee Name and address; Employee's SS#; Nature of Action; Effective Date; Pay grade change; Employment status; Birthdate of employee; Approval Authorization/Signature(s).	Agency: 3 years	Records Center: NA	Archives Center: NA
				Destroy.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Human Resources
Personnel

Records Title Series and Description		Function and Use	Contents	Retention Disposition Instruction		
03861	Employee Personnel File (Y) KRS 61.878 (1a)	This series serves as documentation for the employment history of Kentucky Lottery (KLC) employees. For each personnel action taken, there is a Personnel Form noting the action initiated by the agency, and all reviews made by staff in the corporation to assure conformance. The file is used to verify dates of employment, salary levels, sick and annual leave, and other official personnel actions, should questions arise regarding eligibility for retirement or social security benefits. **Reference will vary according to the length of employment, or any followup activity, such as employment verification, disciplinary action, etc. Note: KLC employees are not state merit employees.	Application; Personnel Form(s); W-2's and K-2's; Employee Evaluation Report(s); Withholding Statement(s); Education/Training Authorization Forms; Jury Duty/Summons; Credit Union, Savings Bond, United Way Deductions; Payroll Deductions; Request(s) for Transfer; Disciplinary Action Documents; Resignation Letter; Position Description; Correspondence.	Agency: Indefinite	Records Center: Permanent	Archives Center: NA
03865	Active Employee Retirement Folder (Y) KRS 61.878 (1a) (V)	This series documents and maintains all personnel information and retirement contributions used in calculating and maintaining an employee's retirement benefit. The "hands on" management of each employee's account is done at Liberty Bank in Louisville. The bank provides KLC with an annual detail statement of the status of an employee's account. The file will document personal information regarding the employee's name, SS#, age, salary, and years of service. It documents a refund, should an employee terminate his service with the corporation. The file will reflect changes in name, address, salary, etc. Portions of this information will be found in the Employee Personnel File (03861). This information is audited primarily through Accounting, but would provide an audit trail (see Retirement Contribution List-03898).	Name, address (Personnel documentation); Enrollment card; Beneficiary card; Account statements; Correspondence.	Agency: Indefinite	Records Center: NA	Archives Center: NA
03866	Refunded Employee Folder (Y) KRS 61.878 (1a) (V)	This series documents personnel and retirement information to be used in the calculation of a refund. Upon separation of employment, an employee may request a refund of his account.	Personnel Forms; Enrollment information; Beneficiary information; Detail Account Statements; Correspondence; Refund Statement	Agency: 3 years	Records Center: NA	Archives Center: NA
03864	Job Classification List			Agency: 3	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Information Systems

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03883	Lottery Back Office System (BOS) (Electronic) (Y) KRS 61.878 (1a, f) (V)	This system accounts for and manages all financial and inventory control information in the Kentucky Lottery Corporation (KLC). The ACCLAIMS software package coordinates, directs and manages the hundreds of factors involved in the Lottery's daily activities. Its capabilities include a Retailer Data Base (banking information), Game Description File (Pack Serial nos., Validation nos., price amounts), Inventory Control, accounts receivable transactions (EFT*, billing), Claimant Functions (check generation, claimant demographics, tax withholdings-state, child support tapes from Revenue Cabinet), Security/Employee Data Base, and sales reporting information. Users must have ID and password to enter, and some will have various access codes with a particular menu. *Electronic Funds Transfer	See Attached	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Delete inactive information after 3 years and audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Internal Audit

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03880	Ticket Request File (N) NA	This series documents the request for tickets from the warehouse to sales and marketing departments at KLC headquarters. An authorization form is completed for the transfer of tickets from Audits to Sales and Marketing. The file documents the "transfer of ownership" of the tickets. It serves as an inventory control method for the movement of tickets.	Procedures to request tickets; Ticket Request Form (Name of requestor, department, type of ticket, promotion of tickets, date needed, ticket quantity, \$ value, approvals of department head, security, on-line coordinator, if applicable); Attachments (On-line game).	Agency: Indefinite	Records Center: NA	Archives Center: NA Destroy 3 years after closure of game and audit.
03881	Project Donation File (N) NA	This series documents the calculations that determine the monetary donation to a charitable agency. The Board of Directors approved the allocation of the money to the program, and which agency (agencies) will participate. (To date, Kentucky Harvest and Dare to Care have been the beneficiaries of this program.) Each retailer/regional office provides the voided tickets that are brought into the warehouse, counted, and verified. The dollar amount is then determined, and a check is processed in-house (authorized by the head of marketing).	Reports detailing ticket totals by region; Total dollar amounts associated with regional dollar amounts; Total to be donated.	Agency: 3 years	Records Center: NA	Archives Center: NA Destroy after audit.
03882	Audit Committee Minutes (N) NA	This series documents the discussions concerning audit of the Kentucky Lottery Corporation. It meets twice each year. It was established (not mandated) as a means of dealing with the audit issues of KLC. Members are from the KLC Board of Directors and the external, contractual auditor. The committee deals with the audit engagement schedule, the scope of work to be done, time budgets, procedures, fee negotiations, planning, audit approach, audit staffing and responsibilities, test areas of concern, and findings from audits. The external auditor dictates the audit activity, for the most part. The committee provides the arena to discuss needs and requirements. This committee helps in keeping the corporation informed of audit requirements and expectations.	Narrative of the meeting; Date; Place; Members present; Correspondence; Attachments, i.e., financial statements.	Agency: 3 years	Records Center: NA	Archives Center: Permanen t Transfer to the State Archives.
03879	Internal Audit File (N) NA (V)	This series documents corporate internal audit information including audit objectives, procedures, working papers, and the findings and results of an audit. The audit may cover such subject areas as ticket inventory and reconciliation, physical year-end inventory, travel, purchasing, and on-line game activities. The audit information is incorporated into the work done by (state) contractual auditors.	Audit objectives and procedures; Work papers; Reconciliation Statements; Findings and results.	Agency: Permanent	Records Center: NA	Archives Center: NA Retain in agency

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Marketing

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03889	Spot Buy Schedule for TV/Radio (MPS Printout) (N) NA	This series documents the television and radio spots purchased for specific weeks, days, times to run, and their costs. It is used to verify and compare against the invoice received from the TV or radio station. Sometimes there may be special events that prevented the station from running the advertisement at the requested time (World Series, Presidential address). The station will then select a time slot to run the advertisement at a lower cost, or at no cost, but the station then selects the time slot of its choice. The record reflects the rates, total spots, and length of spot.	Client's name, Product, Campaign, Contract and job order; Market, station, Representative's name; Buyer; Dates for run; Item length; Programing Name/Code (Start/Stop); Weeks, Days; Units; Rate Cost; Monthly Expenditure; Total; Dup. of Invoice--Spots, length, Order, Dates, Rates, Total spots, price.	Agency: 3 years	Records Center: NA	Archives Center: NA
				Destroy after audit.		
03891	Production and Promotional Planning File (N) NA	This series documents the planning and promotion materials for games to stimulate and promote interest in playing the lottery games (buying lottery tickets). This file is targeted more for the public in general (vs. the Retailer Promotion File-SN 03885 which is targeted more for multi-chained stores or key accounts.) They create and design hats, posters, T-shirts, etc. *Reference is unknown at this time.	Design layouts, templates, cost estimates, memoranda.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy when no longer useful.		
03888	Marketing and Sales Research File (N) NA	This series documents the information from which games are analyzed and evaluated. It serves 4 primary purposes: 1) product development, the types of games to create and promote; 2) player/demographic profiles (what types of games interest different types of players); 3) evaluation of marketing and promotional campaigns; and 4) sales analysis. It aids in the development and implementation of promotional events, and the types of ticket product (instant game, scratch-off, pull-tabs, or on-line games). There are various ways of compiling the research. Sometimes one focus group may be identified, sometimes more than one, random telephone calls, or visiting the retailers and/or talking to customers. Up to this time, the Director of Marketing has had responsibility for creating and implementing the game. In the near future, the Board of Directors will pass approval on games before they are implemented. *Reference is unknown at this time.	Cash Sales Evaluation; Statistics on games/locations; Research Report (narrative, playing styles, summary of findings, cash tracker); Methodology of game; Public Opinions; Conclusions; Proposed Game Strategy; Calendar for Strategy.	Agency: 10 years	Records Center: NA	Archives Center: Permanent
				Transfer to the State Archives		
03887	Videotapes of Fun and Games Shows (N) NA	These tapes document the actual television show as broadcast. They identify the rules of the game(s) (played on the show), the host explains the procedures of how to become a game show participant, and they identify the participants. This information is in each Fun and Games Game Show File (03852) kept by the Executive Vice President. *There is one show per week. Currently, there is a contract with WHAS for 1.5 years. However, a full year has not been completed at this time.	Show activity	Agency: Indefinite	Records Center: NA	Archives Center: Permanent
				Transfer 3 tapes to the State Archives. Destroy remainder when no longer useful.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Marketing

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03886	Special Events, Exhibits, Fairs, and Expos File (N) NA	This series documents the information used in planning an event or exhibit--details of space allowances, staff required, types of games focus, promotional information, etc. It is compiled as information is received and utilized. It may be referred to each year for budget planning, promotional ideas, recommendations and evaluations of what was successful for future events and activities. This type of file is often used as new games are about to be implemented, especially if some "training" is required in playing the game. *Reference to the file is unknown at this time.	Memoranda; Staff working event; Times, dates of event; Budget information; Information and instructions from malls, fair, or place of event; Attendance; Evaluation of event; Recommendations for next event or year	Agency: Permanent	Records Center: NA	Archives Center: NA
				Retain in agency.		
03890	Media Program System (MPS) (Electronic) (N) NA	This series documents the work of the media buyer in planning the buying schedule (Spot Buy Schedule for TV/Radio-SN 03889), invoice and audit checks, ratings evaluations, and creating the Purchase Orders/Price Contract (03876). The KLC receives Arbitron ratings that are input, does an "audit check" of the invoices, and creates an estimate worksheet. The information is maintained on the PC, a hard copy is not necessarily generated. The information is used to plan and create a buying schedule, then the purchase order.	Client's name; Product; Campaign, Contract, Job Order; Market, station, Representative's name; Buyer's name; Dates for run; Item length; programming name/Code (Start/Stop); Weekds, Days; Units; Rate Cost; Monthly Expenditure; Totals; Invoice information; Ratings.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Delete entries after 3 years and audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
President's Office

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03848	Super Sports Litigation File (N) NA	CLOSED--This series documents the legal activity of the suit filed against the Kentucky Lottery Corporation (KLC) by the Kentucky Thoroughbred Association (KTA) in October, 1989, in order to prevent the startup of the Super Sports Lottery Game. The game was based on the outcome of professional football games, but was not identified or associated with any particular team. The KTA felt the game was not based on chance, but on skill. Initially, the KTA won, but the KLC appealed, and the decision was reversed by the State Appellate Court. Governor Wallace Wilkinson intervened, however, and requested the Lottery to refrain from implementing the game.	Transcript; Motions; Opinions; Correspondence with Attorneys; News releases; Memoranda; Copies of newspaper articles.	Agency: 3 years	Records Center: NA	Archives Center: Permanen t Transfer to State Archives.
03849	Churchill Downs License Agreement (N) NA (V)	This series documents the agreement between Churchill Downs and the Kentucky Lottery Corporation (KLC) to produce and sell the Dream Stakes game related to the running of the Kentucky Derby. It allows the KLC to use Churchill Downs' logos and trademarks. Churchill Downs receives income from KLC based upon a percentage of the sale of Dream Stakes tickets (.25% of first 10 million, .50% of second 10 million, .75% of third 10 million, 1% in excess of 30 million). This is a 2 year agreement with the possibility of renewal.	Copy of agreement; Correspondence.	Agency: 3 years	Records Center: NA	Archives Center: NA Destroy after the expiration of the contract and audit.

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Sales

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03884	Sales Department Report-Monthly (N) NA	This series documents the culmination of ticket sales activity per month, games activity, and, also, the work of the sales department in corporate headquarters. The report that goes to the President details the sales activities in the regional offices, training, customer accounts, promotions with key accounts (Convenients, Super Americas and some research data. The report to the Board is more specific about numbers, highlights of ticket sales and games. The President of the Corporation is responsible for an Annual Report (M0022) to the Governor and the Legislative Research Commission, which is permanent. Information from the Sales reports are included in the President's report.	Sales totals and accomplishments per sales rep and per game; game activities; Promotion activities; Contract activities; training activities.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy when no longer useful.		
03885	Retailer Promotion File			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: March 14, 1991

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

General Government
Lottery Corporation
Sales
Regional Office/Warehouse

Retention

Disposition Instruction

Series	Records Title and Description	Function and Use	Contents			
03953	Purchasing File-Duplicate (N) NA Change Date: 6/13/1991	This series documents the requisitioning and ordering of supplies, services, equipment, or materials required by the Regional Office/Warehouse to conduct business. It is initiated by the completion of the Purchase Requisition (03875), and approved by the state Sales Manager. The Department of Purchasing (KLC) orders the desired supplies. The Regional Office is sent a copy of the Purchase Order (03876). The original invoice and Purchase Order is retained at KLC Headquarters. A copy of the Purchase Requisition, Purchase Order, and invoice is filed once the order is received and checked for accuracy.	Purchase Requisition (Vendor name, Ship To, Date of Order, Name to Notify, Item #, Quantity, Description, Price); Purchase Order (Vendor Code, P. O.#, Ship To, Date, Quantity, Description, Cost); Copy of invoice.	Agency: 1 year Destroy	Records Center: NA	Archives Center: NA
03954	Requisition and Purchase Order Log (N) NA Change Date: 6/13/1991	This series identifies each item of the Purchase File (03953), and verifies the dates of activity related to a purchase.	Name of Regional Office; Requisition #; Date of Requisition; Description of Item; Vendor, P. O. #; Received Date; Received By.	Agency: Indefinite Destroy when no longer useful.	Records Center: NA	Archives Center: NA
03955	Transaction Invoice-Duplicate (N) NA Change Date: 6/13/1991	This series documents the over-the-counter purchases of game tickets to a retailer from the Regional Office (Louisville, Lexington, Florence, Henderson, Bowling Green, Prestonsburg, or Ashland). It verifies the packs of tickets sold to retailers, and aids inventory balance and ticket control.	Invoice No.; Purchaser (Name and address); Chain no.; Retailer no.; Invoice date; Lottery sales rep name/no.; Game no.; Pack no.; Amount; Invoice Total; Number of Packs; Amount paid.	Agency: 1 year Destroy after audit	Records Center: NA	Archives Center: NA
03956	Retailer Termination Log and Checklist (N) NA Change Date: 6/13/1991	This series provides information identifying retailers who are no longer licensed to sell lottery tickets, and whose licenses have been terminated for one reason or another. It prevents regional office employees from selling tickets to unlicensed retailers. The Regional Office is advised of this by a sales representative, or possibly the retailer. The sales rep will complete the Checklist and pick up any remaining tickets. (G-Tech is responsible for picking up LOTTO machines.)	Retailer #, Name, address; Date; Reason for Termination, Comments; Financial settlement information; Licensing equipment.	Agency: Indefinite Destroy when no longer useful	Records Center: NA	Archives Center: NA

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Sales
Regional Office/Warehouse

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03957	Winner Information Form-Duplicate (Y) KRS 61.878 (1a) Change Date: 6/13/1991	This series provides the Kentucky Lottery Corporation (KLC) with personal and demographic information of winners of \$1000 or more. It is sent to the Winner Awareness Coordinator at KLC Headquarters and included in the Winner's Claim File (03873). A winner will complete the form if the prize is more than \$100. (A retailer may pay a prize up to \$599.) Winners of \$25 or more are asked to complete the form, but may refuse if the prize is less than \$100. For winners of \$1000 or more, a copy of the form is sent to Lottery Headquarters. The form is also used in balancing daily financial activities within the Regional Office.	Date; Retailer #; Name of winner, address; Age; Sex; Marital Status; Occupation; Spouse's Name, Occupation; # of Children; High School/College Attended; Where did you buy the winning ticket; What will you do with the prize money; Newspaper(s) read; Radio Station(s) listened to; Authorization for KLC to use the information for publicity purposes.	Agency: 3 years	Records Center: NA	Archives Center: NA
				Destroy after audit		
03958	Inventory Balance Inquiry for Returned Tickets Report (BOS Printout) (N) NA Change Date: 6/13/1991	This series documents the daily status and account balances of game tickets returned from retailers. Each regional office/warehouse has responsibility for game tickets (see Ticket Request File-SN 03880). This series aids each regional office/warehouse in managing the inventory it is accountable for, particularly when game tickets are returned and retailers are reimbursed or credited for tickets they do not use, or games they elect not to participate in.	Partial/Full return; Ticket numbers (from-through); Count; Dollar amount credited to retailer; Retailer # and address; Game no./Pack no.; Date of Return; Assigned reference no.; Printout--Previous Totals; Orders; Net Transfers; Maintained; Issues/Returns; Total Tickets	Agency: 1 year	Records Center: NA	Archives Center: NA
				Destroy after audit		
03959	Regional Claims Report (BOS Printout)-Duplicate (N) NA Change Date: 6/13/1991	This series documents all prizes claimed, prize amounts, and totals each day at the Regional Office. Each Regional Office will do their own, and which must balance with the report daily. This series is equal to the Daily Claimed Prize Report (03912) maintained at Lottery Headquarters.	Date/Time of Report; Claim Center/Location; Game No.; Claim no.; Warrant no.; Claimant name; Pack/Ticket no.; Claim Date; Prize Amount; Federal Withholding; State Withholding; Other Withholding; Net amount; Retailer name; Paid Total.	Agency: 1 year	Records Center: NA	Archives Center: NA
				Destroy after audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Sales
Regional Office/Warehouse

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
04125	Shipping Manifest (Manufacturer's Printout) (N) NA Change Date: 3/12/1992 (V)	This series documents the number of tickets printed and purchased per game, and packs shipped. This series is for instant tickets only, not on-line games (i.e., Lotto Kentucky, Pick Three). The shipping manifest is received from the ticket manufacturer, and used to verify the receipt of tickets at the central warehouse. It is also used when closing out a game. Games are seldom time-limited. A game that is not popular, or selling well, may be discontinued before all tickets are sold, possibly after a few months, while others may go on for several months. This information is also sent to Lottery Headquarters on magnetic tape by manufacturer and input on the Lottery Back Office System (BOS) (03883). Once a game is closed, an inventory is done on the remaining tickets/packs. Remaining tickets are shredded. The shipping manifest is reconciled with the information on the BOS. *Reference will be dependent on the time period of the game.	Box number; Pack range; number of pallets shipped; number of tickets shipped.	Agency: I	Records Center: NA	Archives Center:
				Destroy 3 months after ending of game and audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Security

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04123	On-Line Games Drawing Equipment Testing File (N) NA Change Date: 3/12/1992 (V)	This series documents the pre- and post- testing of the on-line drawing games of Lotto Kentucky, Cash Five, and Pick Three. The file documents the ball sets as randomly selected for each drawing, pre-test drawing result(s), post-test drawing result(s), ball weights, verification of the drawing's winning numbers, and any unusual incidents or circumstances that may occur during a drawing (power outage, staff unavailability). The auditors (under contract) submit quarterly reports to the Lottery Corporation and the State Auditor to verify that established policies and procedures were complied with, and that no unusual circumstances occurred. The winning claim is valid for 1 year.	Date; Seal; Pre-test and Post-test drawings (Test 1, 2, 3, or more if necessary); Signatures and certification of accuracy, and satisfaction by drawing manager and auditor; Unusual Incident Report (Date/Time of incident, winning numbers, synopsis, signatures of drawing manager, auditor); Winning Number Verification Form; Ball Weight Form (Set #, approved range/grams, Ball number, Signature of Drawing Manager, Auditor, Security Officer)	Agency: 1 year	Records Center: NA	Archives Center: NA
				Destroy after audit		
03857	Shipping/Receiving Report (N) NA	This information documents the receipt of goods or supplies from a vendor, and authorizes payment for the same. It identifies the items on order, and amounts due. It will also identify accounts to which purchases are charged. The bulk of the goods, particularly housed at the Warehouse, are tickets. However, office supplies and equipment are often received there.	Name/address of Lottery Corporation; Date of Shipment; Name/address of vendor; Order #; Game # and name; Quantity of packages/cartons delivered; Truck carrier # and name; Ticket Summary (# of tickets/cartons).	Agency: 3 years	Records Center: NA	Archives Center: NA
				Destroy after audit.		
04319	Security Investigation File (C) KRS 61.878 (1)(f) Change Date: 9/9/1993 (V)	This series documents the investigative activity of the security staff when notified of tickets being stolen or other thefts or fraudulent claims that threaten the security of the corporation's business. A small percentage of files have been created relating to illegal gambling operations by a retailer, retailer theft, or internal problems, but the bulk of the investigative files consists of someone besides a retailer or employee stealing lottery tickets. It is up to the retailer to contact the local police and report a robbery. It is very important to the lottery staff to have information that will allow them to stop payment on stolen tickets. They may be able to assist local police in an investigation or testify in court, if necessary, but security staff do not have enforcement authority in the public domain.	Investigation Control Form: Time; Date; Nature of Investigation; Synopsis; Resolution; Local/State Police Authorities Contacted (Who, When); Lottery Senior Management/Regional Manager/Lottery Department Manager Notified (Who, When); For Security Division Internal Use Only (Investigator Assigned; Date Assigned; Date to be resolved by; Copies Distributed to/Date Distributed; Signature of Security V.P. and Correspondence	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy five years after closure of the case		

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Security

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03853	Drawing Security File (N) NA (V)	This file documents the security procedures enforced when an instant ticket game uses supplemental drawings to award prizes. The file is created when a supplemental drawing takes place for cash or other prizes, i.e. house, cars. It verifies the actual events and results of a drawing. For cash prizes, Validations will hold the original ticket, and this file will maintain a copy. Otherwise, this file would hold the winning ticket.	Tickets meeting supplemental drawing criteria; Copy of winning ticket; Completed Security Forms used for the drawing.	Agency: 3 years Destroy after audit.	Records Center: NA	Archives Center: NA
03852	Fun & Games Game Show File (N) NA	This series documents the activities of each weekly Fun & Games Show. It contains the tickets that qualify a person for participation (a lottery ticket that displays 3 TV sets), as well as complete records of what transpires on each show, who wins, how much, unusual incidents, records of contestants' actions, and audit records. Procedures regarding the implementation and structure of the game are in the Game File (03850). *The show is currently under contract with the television station to run for 18 months. It could possibly run longer or shorter, dependent on the popularity of the show. Then this will be a closed series. **Activity is daily for the current week's show. There will be 2-3 references per week to the previous weeks show, and little, if any, reference to a week that is more than 3 weeks old under normal circumstances. Drawings for the tickets takes place every Thursday morning, with a representative from the external auditor present.	Winning tickets that entitle an individual to be in the audience or a home partner); Auditor's listing of winners; Documentation of notification of winners and winning retailers; Sign in sheets for the game; Verification of receipt of cash; Retailer check-in form; Official list of contestants; Audience members and home partners; List of alternate contestants; Drawing manager's record of Game Show events.	Agency: 3 years Destroy after audit.	Records Center: NA	Archives Center: NA
03854	Employee Security File (Y) KRS 61.878 (1a) (V)	This series documents pertinent information relative to each Kentucky Lottery Corporation (KLC) employee for security purposes. It provides the KLC with the security clearance necessary for the administration and operation of their agency. This series will reflect name changes, residents in an employee's home, and an agreement that the employee, or residents in his/her home, will not buy lottery tickets while employed by the KLC. Because of the nature of the business of the KLC, this information is of primary concern to the agency during one's employment. *Once one becomes employed and has passed the necessary security requirements, it is referred to as the need exists.	Photograph; Fingerprints; Household ticket security form; Background check release form; Inter-office memo regarding employee as relates to security; Notes of changes within the family status (marital, address changes, etc.); Arrests (DUI's).	Agency: Indefinite Destroy 3 years after termination of employment.	Records Center: NA	Archives Center: NA
03855	Lease Contract File (N) NA	This series documents the agreements and conditions between the Kentucky Lottery Corporation and the landlords of buildings leased. The KLC has regional sales offices in Bowling Green, Florence, Henderson, Lexington, Louisville, Prestonsburg, and Ashland. The contract specifies the cost of each lease, the time period for rental, the types of business transactions to take place within the facility. Other terms or conditions would be documented within the agreement.	Identification of parties, Address, Square Footage, Store No., Description of terms and conditions, Rent, Layout, Signatures of authorized KLC personnel/landlord or property owner.	Agency: Indefinite Destroy 3 years after expiration of contract.	Records Center: NA	Archives Center: NA

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Security

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
03858	Daily Inventory Log Sheet			Agency: I	Records Center:	Archives Center:
				Destroy 1 year after closure of game		
04320	Security's Winner's Claim File (Y) KRS 61.878 (1)(a) Change Date: 9/9/1993 (V)	This series documents the validity of a winning grand prize ticket. Grand prizes are winnings of \$100,000 or more and, on-line games (the automated number games). Validations processes the winning prize and checks for outstanding taxes due or child support payments owed. This is done in less than a day. Security's work will take approximately a week to ten days. There are five steps in the process: 1) a "vision snap shot" is made of the ticket; 2) Transaction Master Inquiry Report (TMIR) reflects the transactions of the retailer's terminal, verifying winning number on a particular machine; 3) Sign-on slip, from retailer which is a series of sixteen unique numbers each day; 4) an SR# (selling retailer) on the back of a ticket is checked with G-Tech's number for any particular day; and, 5) G-Guard, a system diskette with each of the following numbers that must match up--the retailer's number, terminal number, G-Guard number, ticket number, the sixteen digit number. Once each of these activities are completed, Security is completed with its check.	Copy of Winner's Claim Form (Name, address, demographic information); Sign-on slip; TMIR form; G-Guard; Copy of Winning Ticket; Copy of Vision Snap Shot; Copy of Selling Retailer (SR#) number	Agency: 1 year Destroy	Records Center: NA	Archives Center: NA

STATE AGENCY RECORDS RETENTION SCHEDULE

General Government
Lottery Corporation
Security
Facilities Management

Retention

Series	Records Title and Description	Function and Use	Contents	Disposition Instruction		
03856	Floor Layout, Design and Expansion File (N) NA (V)	This series documents the floor layout and design of office arrangements, equipment, blueprints, wiring, etc. when the space was leased for the Louisville office from the Paragon Group. The file describes color schemes, and decorating themes of the professional office building. It reflected the needs of the office staff and their business functions (computers, telephones, lighting, etc.) It is a semi-closed file. It was used when the Lottery expanded their space on another floor in the building. *Activity and accumulation are dependent on changes or expansions.	Blueprints, various drawings of layouts, correspondence, list of equipment and staff needs, types of furniture (some modular), cost estimates.	Agency: Indefinite	Records Center: NA	Archives Center: NA
				Destroy after expiration of lease contract.		